

## **FORMATTING DATA FILES AND EXCEL SPREADSHEETS FOR SURPLUS LINE PROGRAM**

### **IMPORTANT INFORMATION**

PLEASE NOTE THAT THE FORMATTING INSTRUCTIONS YOU ARE VIEWING ARE BEING DISPLAYED IN A NEW WINDOW (THE PAGE YOU WERE VIEWING PRIOR TO THIS ONE IS STILL OPEN IN THE BACKGROUND). WE HAVE PRESENTED INFORMATION ABOUT HOW TO FORMAT YOUR DATA FILES IN THIS MANNER SO THAT YOU CAN MINIMIZE THIS WINDOW TO MAKE IT AVAILABLE FOR REFERENCE WHILE YOU ARE FORMATTING YOUR SURPLUS LINE DATA FILES.

SIMPLY CLICK THE MINIMIZE ( - ) BUTTON IN THE UPPER RIGHT HAND CORNER OF THE MENU OR TITLE BAR TO MINIMIZE THIS DOCUMENT WINDOW TO A BUTTON ON YOUR TASKBAR. YOU WILL THEN SEE THE PAGE WHERE YOU MAY BEGIN THE ONLINE FILING OF YOUR SURPLUS LINE TAX INFORMATION. IF YOU WISH TO CLOSE THIS WINDOW, CLICK THE CLOSE ( X ) BUTTON IN THE UPPER RIGHT HAND CORNER OF THE MENU OR TITLE BAR.

### **Formatting Instructions**

In order to successfully upload Surplus Line policy information to the Alabama Department of Insurance Surplus Line System, the file must be in a "comma-delimited format". This means that all data elements on each line must be separated from each other by a comma. The file must also have a .txt (text) or .csv (comma-separated value) extension (for example, BrokerID12.txt or BrokerID12.csv). As you prepare your .txt or .csv file, the commas separating the data elements may not be visible if you view your data in a spreadsheet format. However, if you review your file in a text editor (such as Notepad), the commas will display as in the example below (Figure 8). Both of these file types can be created directly from a Microsoft Excel spreadsheet.

If your accounting software is other than Microsoft Excel (i.e., PeachTree, QuickBooks, Great Plains or Platinum), but will create a .csv or .txt file, that is acceptable. Another possibility is to "export" or "cut and paste" Surplus Lines policy data to Excel and use that to create a .csv or .txt file. If none of these options will work with your software, you will not be able to use the upload feature. You can still use the online Surplus Lines System to file your ID-12s or policy data, but all policy information would have to be entered manually. Manually entering a large number of policies is time-consuming.

### **Required fields and file formatting for uploading Surplus Lines Broker ID-12 data to the Surplus Line System:**

<b>Column Heading***</b>	<b>Field Size/Format</b>	<b>Data entry required/optional</b>
Policy Number	up to 25 characters	required entry
Policy Effective Date	MM/DD/YYYY	required entry
Policy Term	in months, numeric	optional entry*
Insurance Amount	format is 9999.99	optional entry*
Premium/Return Premium	format is 9999.99	required entry
Fees	format is 9999.99	required entry
Tax (Prem + Fees x 6%)	format is 9999.99	required entry
Coverage Type	up to 500 characters	optional entry*
Broker License Number	must be 7 characters	required entry
Insurer Company Number (NAIC)	up to 15 characters	required entry
Referral Agent License Number	must be 7 characters	optional entry*
Diligent Efforts Made	up to 500 characters	optional entry*
Insured Name	up to 200 characters	required entry
Insured Address 1	up to 50 characters	optional entry*
Insured Address 2	up to 50 characters	optional entry*

Insured City	up to 25 characters	optional entry*
Insured State	2-letter abbreviation	optional entry*
Insured Zip	up to 10 characters	optional entry*
Comments (notes)	up to 500 characters	optional entry*
Service of Process Agent Name	up to 75 characters	required entry
Service of Process Address 1	up to 50 characters	required entry
Service of Process Address 2	up to 50 characters	optional entry*
Service of Process City	up to 25 characters	required entry
Service of Process State	2-letter abbreviation	required entry
Service of Process Zip	up to 10 characters	required entry
Transaction Type	must be one of the following: New Policy, Renewal, Endorsement, Cancellation, Monthly Premium, Audit Premium, or Reinstatement	required entry
Transaction Number	must be a number 1-99 for Endorsements, Cancellations, and Monthly Premiums	required entry**

\* **Data entry for these fields is optional. However, if no data is to be entered into these fields, then their respective columns must be left blank in the spreadsheet in order to successfully import the data file.**

\*\* **Transaction Number is required only for Endorsements, Cancellations, and Monthly Premium transaction types. Column can be left blank for other transaction types.**

\*\*\* **Very important! Column Headings should take up the first row in the Excel spreadsheet. Your first record of policy information should be on the second row.**

*Hint:* If you must make any changes or corrections to the file, make them in the *original* document and then resave the file as .csv or .txt over the previous incorrect file.

**Very important: Do not use commas in any of the fields (including money fields)!**

**Examples** (when viewed in a text editor):

1. PD7361-9843, 3/12/2004, 12, 948754.23, 1383.90, 478.39, 111.74, Liability, A999999, C837843, A988888, diligent efforts made comments, Robinson Motor Trucking Inc., 838 Blue Rd., Suite 37C, Atlanta, GA, 75438-3943, Any additional comments, The ABC Agency, 374 Green St., Suite 83D, Birmingham, AL, 37538-3939, Endorsement, 2
2. LS83428-82184K, 5/6/2004, 9, 753921.94, 1094.94, 425.50, 91.23, Liability, A999999, C123456, , diligent efforts made comments, Samsong Corporation, 938 Hickory Rd., , Montgomery, AL, 36117, Any additional comments, Green Agency, 394 Roosevelt Drive, , Tuscaloosa, AL, 35149, New Policy, (example with some optional field columns left blank)

**Required fields and file formatting for uploading Surplus Line Broker Annual Tax Form Worksheet data to the Surplus Line System:**

<b>Column Heading****</b>	<b>Field Size/Format</b>	<b>Data Entry required/optional</b>
Broker License Number	must be 7 characters	required entry
Month	a number 1-12	optional entry*
Quarter	a number 1-4	optional entry**
Year	format is YYYY	required entry
Policy Number	up to 25 characters	required entry
Insured Name	up to 200 characters	required entry
Insurer Company Number (NAIC)	up to 15 characters	required entry

Policy Effective Date	MM/DD/YYYY	required entry
Coverage Type	up to 500 characters	optional entry***
Insurance Amount	format is 9999.99	optional entry***
Gross Premium + Fees	format is 9999.99	required entry
Gross Tax	format is 9999.99	required entry
Return Premium	format is 9999.99	optional entry***
Return Tax	format is 9999.99	optional entry***
Net Premium + Fees	format is 9999.99	required entry
Net Tax	format is 9999.99	required entry

\* **Month is an optional field. If worksheet policies and tax summary only covers a certain month instead of a whole year, then you can enter a number 1-12 matching the appropriate calendar month.**

\*\* **Quarter is an optional field. If worksheet policies and tax summary only covers a certain quarter instead of a whole year, then you can enter a number 1-4 matching the appropriate quarter.**

\*\*\* **Data entry for these fields is optional. However, if no data is to be entered into these fields, then their respective columns must be left blank in the spreadsheet in order to successfully import the data file.**

\*\*\*\* **Very important! Column Headings should take up the first row in the Excel spreadsheet. Your first record of policy information should be on the second row.**

*Hint:* If you must make any changes or corrections to the file, make them in the *original* document and then resave the file as .csv or .txt over the previous incorrect file.

**Very important: Do not use commas in any of the fields (including money fields)!**

**Examples** (when viewed in a text editor):

1. A999999, 3, , 2004, PD7361-9843, Robinson Motor Trucking Inc., C837843, 3/12/2004, Liability, 857432.02, 24502.50, 1470.15, 100.00, 6.00, 24402.50, 1464.15
2. A999999, , , 2004, SY834-415KD, Samsong Corporation, C123456, 9/3/2004, Physical damage, 748390.67, 182938.93, 10976.34, , , 182938.93, 10976.34 (example with some optional field columns left blank)

**Required fields and file formatting for uploading Surplus Line Broker Annual Tax Form Summary data to the Surplus Line System:**

<b>Column Heading****</b>	<b>Field Size/Format</b>	<b>Data Entry required/optional</b>
Broker License Number	must be 7 characters	required entry
Month	a number 1-12	optional entry*
Quarter	a number 1-4	optional entry**
Year	format is YYYY	required entry
Total Gross Premium	format is 9999.99	required entry
Total Return Premium	format is 9999.99	optional entry***
Total Net Premium	format is 9999.99	required entry
Total Tax Due	format is 9999.99	required entry

\* **Month is an optional field. If worksheet policies and tax summary only covers a certain month instead of a whole year, then you can enter a number 1-12 matching the appropriate calendar month.**

**\*\* Quarter is an optional field. If worksheet policies and tax summary only covers a certain quarter instead of a whole year, then you can enter a number 1-4 matching the appropriate quarter.**

**\*\*\* Data entry for this field is optional. However, if no data is to be entered into this field, then that column must be left blank in the spreadsheet in order to successfully import the data file.**

**\*\*\*\* Very important! Column Headings should take up the first row in the Excel spreadsheet. Your first record of policy information should be on the second row.**

*Hint:* If you must make any changes or corrections to the file, make them in the *original* document and then resave the file as .csv or .txt over the previous incorrect file.

**Very important: Do not use commas in any of the fields (including money fields)!**

**Examples** (when viewed in a text editor):

1. A999999, 3, , 2004, 24502.50, 100.00, 24402.50, 1464.15
2. A999999, , , 2004, 175728.93, , 175728.93, 10543.74 (example with optional field columns left blank)

**Required fields and file formatting for uploading Surplus Line Unauthorized Insurer's Policy data to the Surplus Line System:**

<b>Column Heading*</b>	<b>Field Size/Format</b>	<b>Date Entry required/optional</b>
Policy Number	up to 25 characters	required entry
Broker License Number	must be 7 characters	required entry
Insurer Company Number (NAIC)	up to 15 characters	required entry
Net Premium + Fees	format is 9999.99	required entry
Insured Name	up to 75 characters	required entry
Tax Year	format is YYYY	required entry

**\* Very important! Column Headings should take up the first row in the Excel spreadsheet. Your first record of policy information should be on the second row.**

*Hint:* If you must make any changes or corrections to the file, make them in the *original* document and then resave the file as .csv or .txt over the previous incorrect file.

**Very important: Do not use commas in any of the fields (including money fields)!**

**Example** (when viewed in a text editor):

1. PD7361-9843, A999999, C837843, 17849.30, Robinson Motor Trucking Inc., 2004

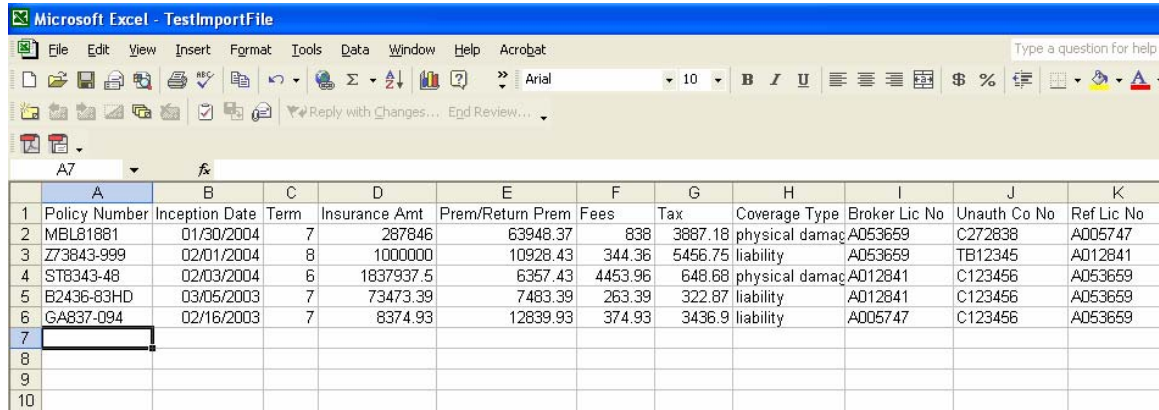
These instructions show how to create:

- [a comma-separated file \(.csv\) using Microsoft Excel](#) *recommended method*
- [a text file \(.txt\) with all fields separated by commas using Microsoft Excel](#)
- [a formatted column in Excel to accept all Text](#) (It is recommended that all number columns in your file be formatted as Text.)

## How to create a comma-separated file (.csv) using Microsoft Excel.

Step 1. Open or create the Broker ID-12 file using Excel. See Figure 1 below.

Tip: **Do not** format any of the money columns with dollar signs or commas; **do** enter a decimal point and cents; use text format. **Do not** allow blank lines between records or after the last record.



	A	B	C	D	E	F	G	H	I	J	K
1	Policy Number	Inception Date	Term	Insurance Amt	Prem/Return Prem	Fees	Tax	Coverage Type	Broker Lic No	Unauth Co No	Ref Lic No
2	MBL81881	01/30/2004	7	287846	63948.37	838	3887.18	physical damage	A053659	C272838	A005747
3	Z73843-999	02/01/2004	8	1000000	10928.43	344.36	5456.75	liability	A053659	TB12345	A012841
4	ST8343-48	02/03/2004	6	1837937.5	6357.43	4453.96	648.68	physical damage	A012841	C123456	A053659
5	B2436-83HD	03/05/2003	7	73473.39	7483.39	263.39	322.87	liability	A012841	C123456	A053659
6	GA837-094	02/16/2003	7	8374.93	12839.93	374.93	3436.9	liability	A005747	C123456	A053659
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Figure 1.

Step 2.

Open the menu item File-Save As. Select CSV from the “Save As Type” list box. See Figure 2 below.

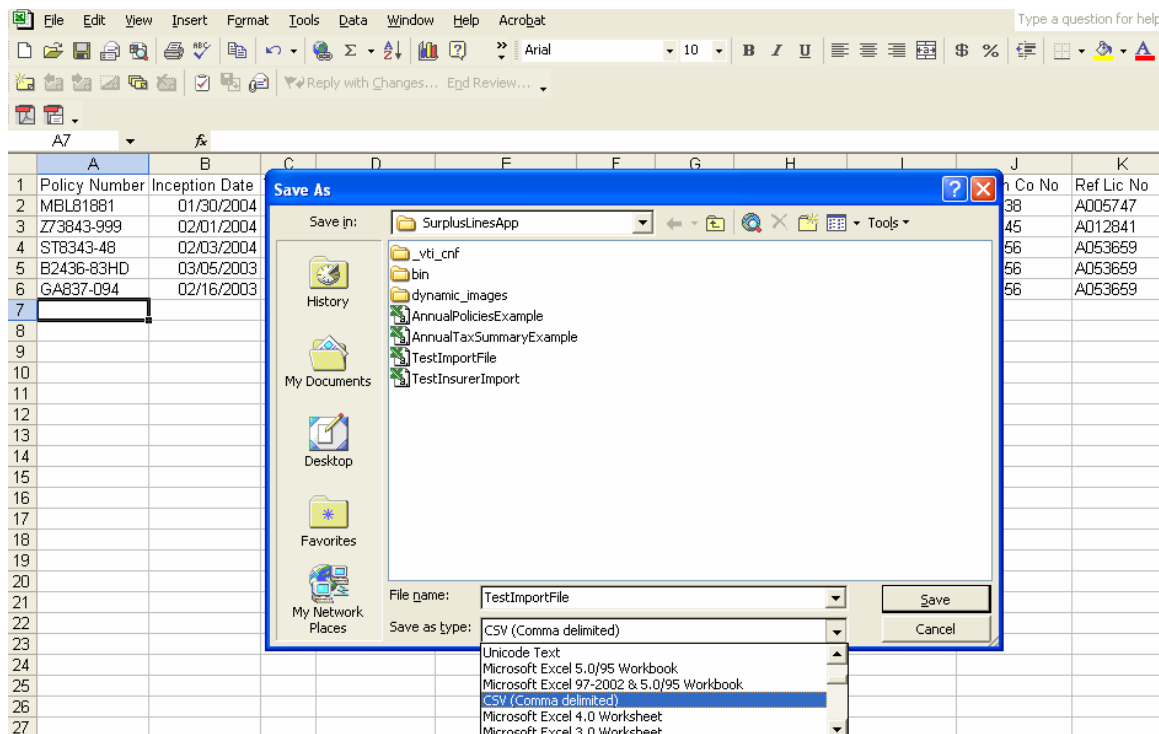
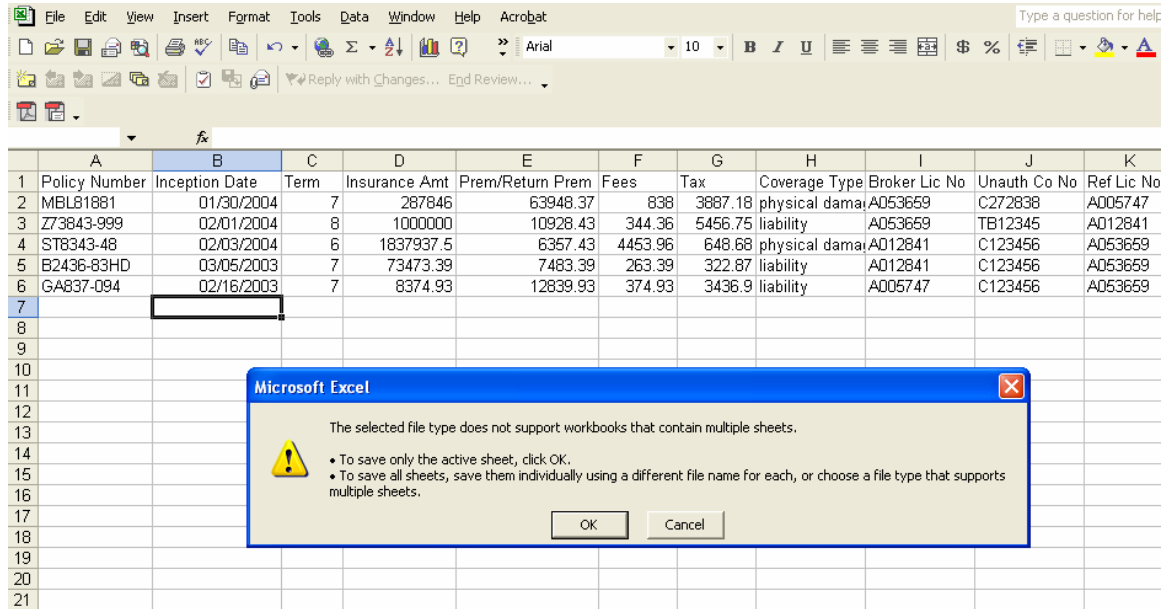


Figure 2.

### Step 3.

After you click Save, Excel may prompt you with a message box stating “The selected File type does not support workbooks that contain multiple sheets. To save only the active sheet, click OK.” This is what you want. The program will upload only the sheet displayed. Click OK.



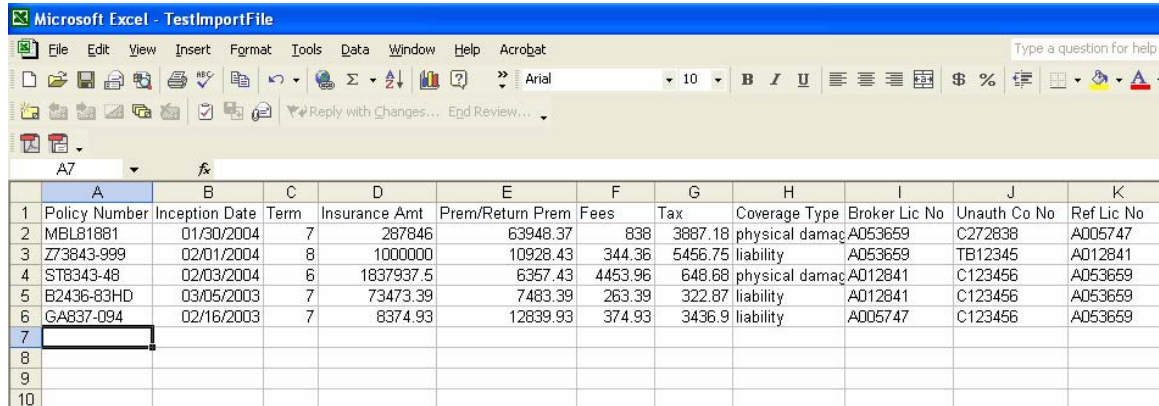
**Figure 3.**

The file should now be saved as a .csv file. Your file is ready to be uploaded into the Surplus Line System.

## How to create a comma-separated file with a .txt extension using Microsoft Excel:

Step 1. Open or create the Broker ID-12 file using Excel. See Figure 4 below.

Tip: **Do not** format the money columns with dollar signs or commas; **do** enter a decimal point and cents; use text format. **Do not** allow blank lines between records or after the last record.

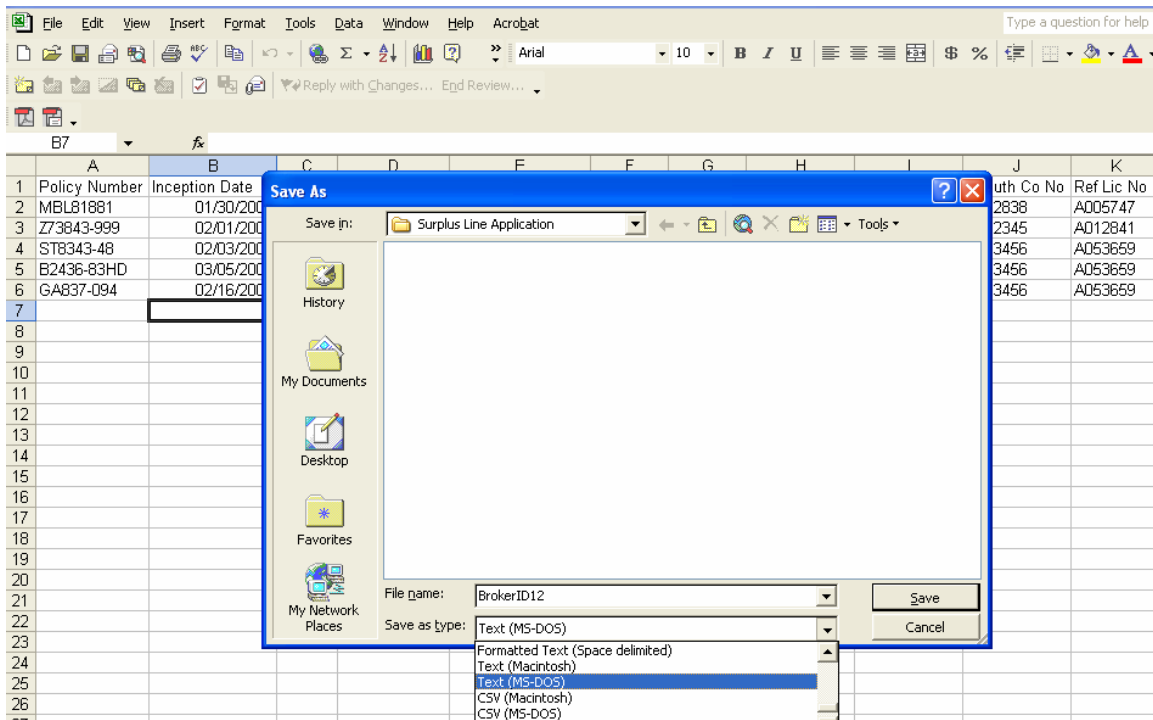


	A	B	C	D	E	F	G	H	I	J	K
1	Policy Number	Inception Date	Term	Insurance Amt	Prem/Return Prem	Fees	Tax	Coverage Type	Broker Lic No	Unauth Co No	Ref Lic No
2	MBL81881	01/30/2004	7	287846	63948.37	838	3887.18	physical damage	A053659	C272838	A005747
3	Z73843-999	02/01/2004	8	1000000	10928.43	344.36	5456.75	liability	A053659	TB12345	A012841
4	ST8343-48	02/03/2004	6	1837937.5	6357.43	4453.96	648.68	physical damage	A012841	C123456	A053659
5	B2436-83HD	03/05/2003	7	73473.39	7483.39	263.39	322.87	liability	A012841	C123456	A053659
6	GA837-094	02/16/2003	7	8374.93	12839.93	374.93	3436.9	liability	A005747	C123456	A053659
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Figure 4.

Step 2.

Open the menu item File-Save As. Select Text from the “Save As Type” list box. See Figure 5 below.

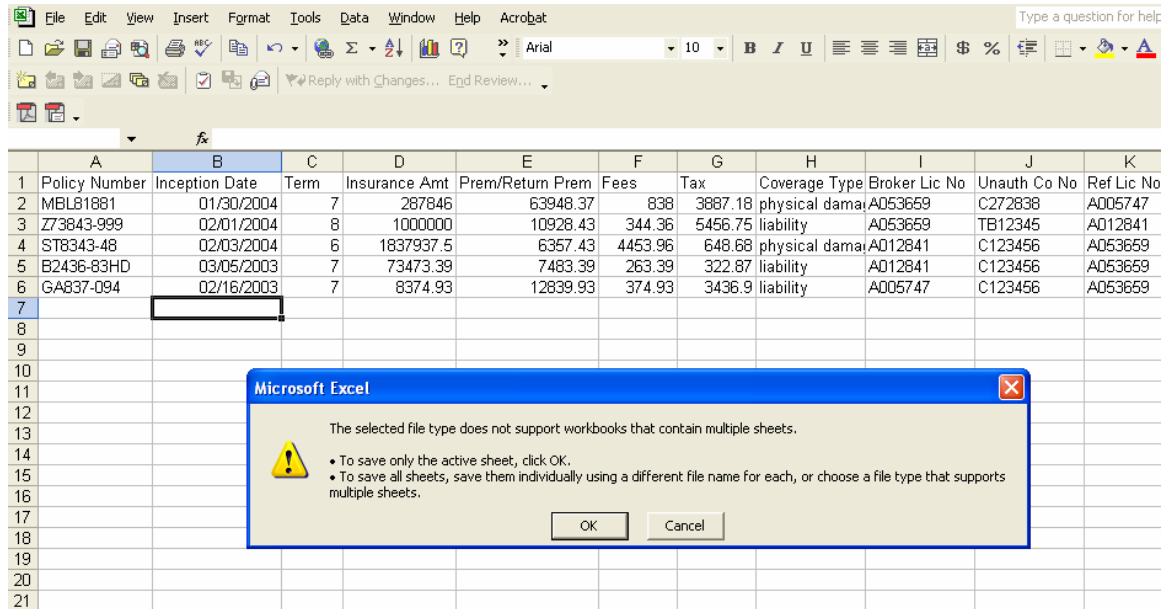


**Figure 5.**



### Step 3.

After you click Save, Excel may prompt you with a message box stating “The selected File type does not support workbooks that contain multiple sheets. To save only the active sheet, click OK.” This is what you want. The program will upload only the sheet displayed. Click OK.

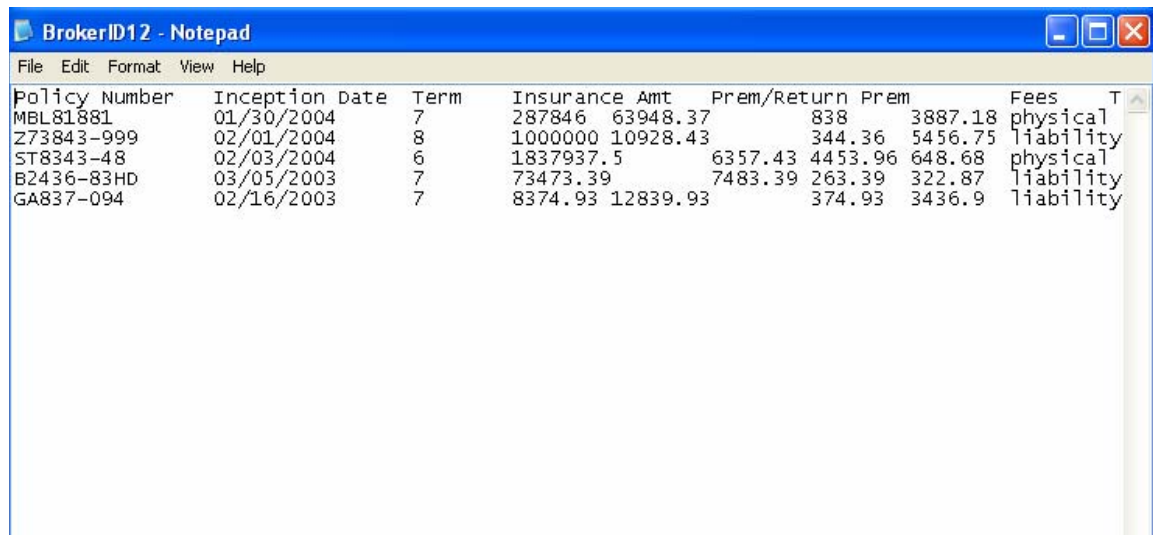


**Figure 6.**

The Broker ID-12 file should now be saved as a .txt file.

Step 4.

Next, it is necessary to open the BrokerID12.txt file you just created. See Figure 7 below.



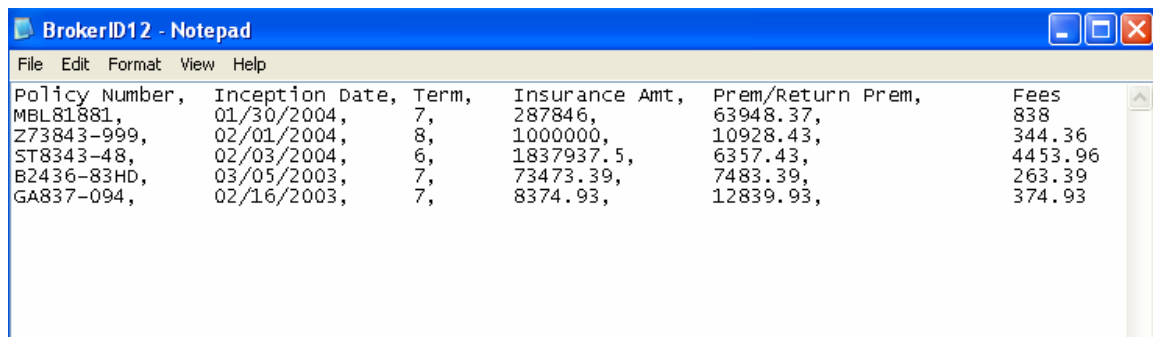
The screenshot shows a Notepad window with the title 'BrokerID12 - Notepad'. The menu bar includes File, Edit, Format, View, and Help. The text content is a table with the following data:

Policy Number	Inception Date	Term	Insurance Amt	Prem/Return	Prem	Fees	T
MBL81881	01/30/2004	7	287846 63948.37	838	3887.18	physical	
Z73843-999	02/01/2004	8	1000000 10928.43	344.36	5456.75	liability	
ST8343-48	02/03/2004	6	1837937.5	6357.43	4453.96	physical	
B2436-83HD	03/05/2003	7	73473.39	7483.39	263.39	liability	
GA837-094	02/16/2003	7	8374.93 12839.93	374.93	3436.9	liability	

**Figure 7.**

Step 5.

Commas must be entered between each field EXCEPT after the last item on the line. Be sure there are no blank lines after the last record. See figure 8 below. This must be done for every line in the file.



The screenshot shows the same Notepad window, but the data is formatted with commas between fields in each row, except for the last field in each row. The data is as follows:

Policy Number,	Inception Date,	Term,	Insurance Amt,	Prem/Return	Prem,	Fees	
MBL81881,	01/30/2004,	7,	287846,	63948.37,	838		
Z73843-999,	02/01/2004,	8,	1000000,	10928.43,	344.36		
ST8343-48,	02/03/2004,	6,	1837937.5,	6357.43,	4453.96		
B2436-83HD,	03/05/2003,	7,	73473.39,	7483.39,	263.39		
GA837-094,	02/16/2003,	7,	8374.93,	12839.93,	374.93		

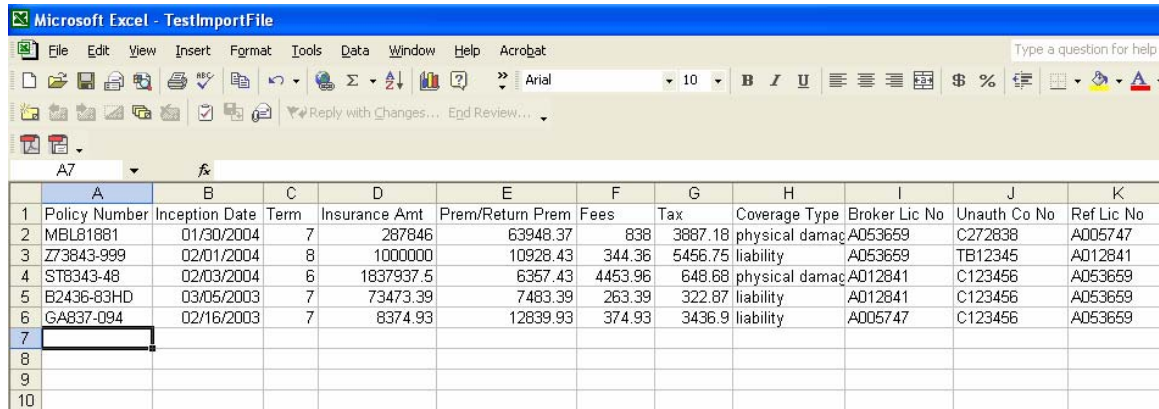
**Figure 8.**

Once you are finished, save and close the text file. Your file is now ready to be uploaded into the Surplus Line System.

**How to format a column in Excel to accept, displays and retains data as text.**

**Hint: All number columns (ex. money columns) in your file should be formatted as text.**

Step 1. Open or create the Broker ID-12 file using Excel. See Figure 9 below.

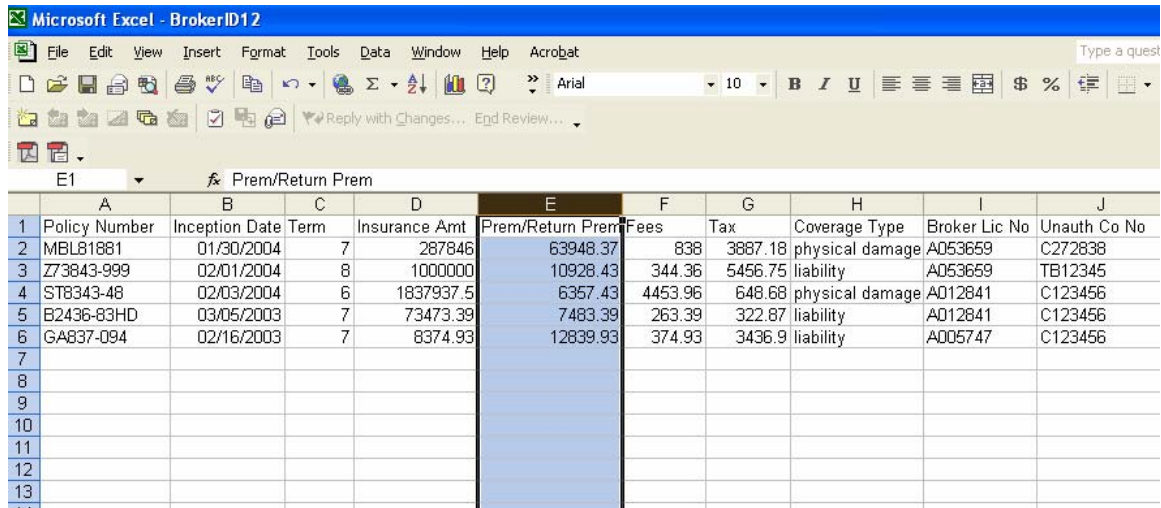


	A	B	C	D	E	F	G	H	I	J	K
1	Policy Number	Inception Date	Term	Insurance Amt	Prem/Return Prem	Fees	Tax	Coverage Type	Broker Lic No	Unauth Co No	Ref Lic No
2	MBL81881	01/30/2004	7	287846	63948.37	838	3887.18	physical damage	A053659	C272838	A005747
3	Z73843-999	02/01/2004	8	1000000	10928.43	344.36	5456.75	liability	A053659	TB12345	A012841
4	ST8343-48	02/03/2004	6	1837937.5	6357.43	4453.96	648.68	physical damage	A012841	C123456	A053659
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6	GA837-094	02/16/2003	7	8374.93	12839.93	374.93	3436.9	liability	A005747	C123456	A053659
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**Figure 9.**

Step 2.

Highlight the desired column by moving your mouse cursor over the header of the cell (E in this example). Doing this will cause the cursor to change to a + sign, click your left mouse button once. The whole column should highlight. See Figure 10 below.



	A	B	C	D	E	F	G	H	I	J
	Policy Number	Inception Date	Term	Insurance Amt	Prem/Return Prem	Fees	Tax	Coverage Type	Broker Lic No	Unauth Co No
1	MBL81881	01/30/2004	7	287846	63948.37	838	3887.18	physical damage	A053659	C272838
2	Z73843-999	02/01/2004	8	1000000	10928.43	344.36	5456.75	liability	A053659	TB12345
3	ST8343-48	02/03/2004	6	1837937.5	6357.43	4453.96	648.68	physical damage	A012841	C123456
4	B2436-83HD	03/05/2003	7	73473.39	7483.39	263.39	322.87	liability	A012841	C123456
5	GA837-094	02/16/2003	7	8374.93	12839.93	374.93	3436.9	liability	A005747	C123456
6										
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11										
12										
13										

Figure 10.

Step 3.

Open the menu item Format-Cells. Select the Number tab. Select “Text” from the Category list. See Figure 11 below. Click Ok. Column E is now formatted for “Text.” It is recommended that all number columns be formatted in this manner. It is also very important to note that the money columns cannot have dollar signs or commas.

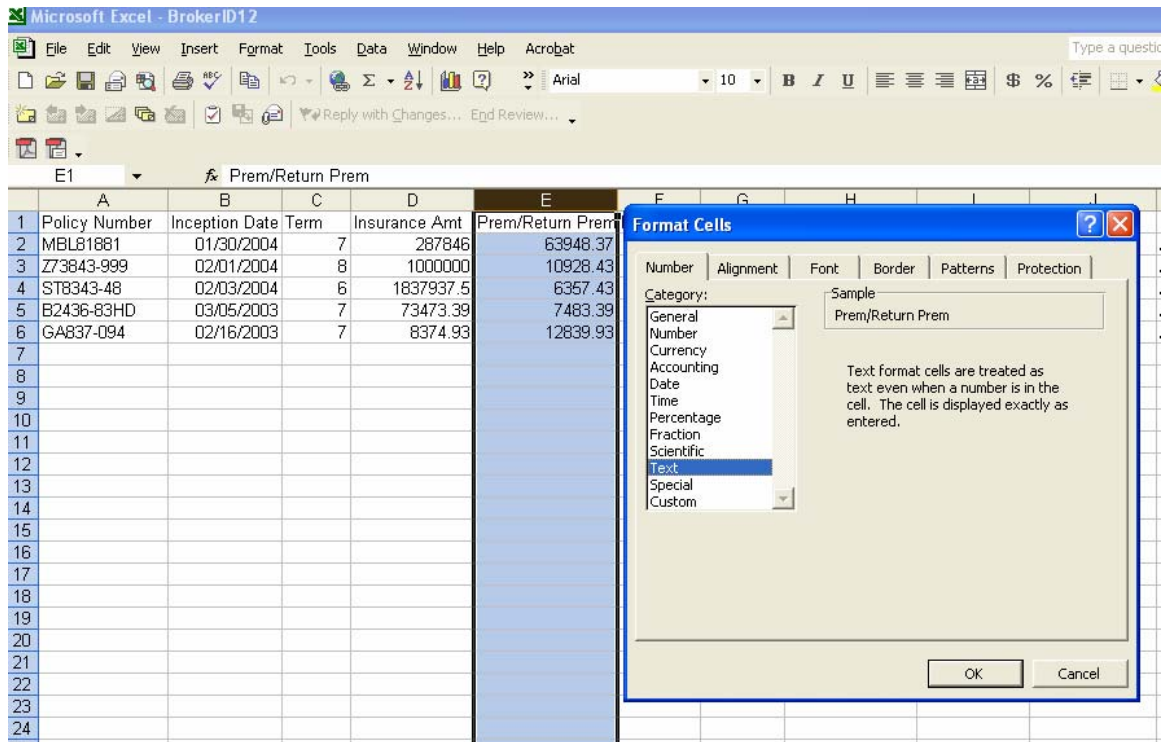


Figure 11.